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WHERE EAST MEETS WEST

by

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June 1989

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LEADERSHIP THEORY AND PRACTICE:  
WHERE EAST MEETS WEST

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## ABSTRACT

This thesis is an exposition of what traditions the Chinese people have regarding leader-follower relationships, how they have evolved, why they are able to survive the test of time for so long, and how they may stand the Chinese officers and men in good stead in their exercise of leadership.

The thesis is also a study of what Western leadership concepts can be assimilated to good advantage by the Chinese, and what additional research efforts for the armed forces of the Republic of China should be undertaken.

The thesis also includes a description of the ECHO sampling technique, which was used in the gathering of data for the identification of key leadership factors and traits by Chinese officers studying at U.S. Naval Postgraduate School in Monterey, California.

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## I. INTRODUCTION

The Chinese are a people who cherish their cultural heritage. By "cultural heritage", I mean those parts of it that have stood the test of time; for instance, that part that concerns human relations -- leadership being an art governing human relations.

A nation's culture is the sum total of the ways in which its people conduct themselves and express themselves. These ways include many aspects of life, such as social, political, and economic order, thought and value systems, customs and folkways, art and letters. But no culture of any nation stands still. In fact, all cultures are constantly in the process of change, and changes are taking place in the modern world with a speed unprecedented in history.

In China there have been radical transformations in the social, political, and economic order that are revolutionary in both scope and intensity. Dynasties have been overthrown; the *jing tian* (井田 well-field) land system was abolished; and the predominance of the agricultural sector has been superseded. But certain vital elements in the Chinese tradition, especially those concerning human relations, have become a cultural continuum. Those elements that have been stable and continuous for at least two thousand years must have something worth preserving. This culture has such vitality because, I think, it is something that is leaning constantly toward a common world culture -- *da tong* (大同 Great Unity) -- which is, if we are able to study the dominant trend of thought in modern times, in the process of taking place. The profound ideal of *da tong* is described in *Li Ji* (禮記 Book of Rites) [Ref 1] as follows:

When the Great *Tao* (道 Way) prevails, the world becomes a unity; men of talents and virtue are elected, and mutual confidence and harmony prevail. Then people not only love their own parents and care for their own children, but also those of others. Old people are able to enjoy their old age; young men are able to employ their talents; juniors respect their elders; widows, orphans, and cripples are all well cared for. Then men have their proper occupations, and women their homes. If people do not want to see wealth being wasted under the ground they do not have to keep it for their own use. If they labor with their strength,



they do not have to labor for their own profit. In this way, selfish schemings are repressed and cannot develop; bandits and burglars do not show themselves; and as a result, the outer doors remain open and need not be shut at night. This is the age of *da tong*.

When he said this, Confucius was not thinking of the Chinese nation. Since the ancient Chinese had no racial prejudice and believed in a Supreme Being that governed all humanity without preference for any particular tribe or race, it was only natural that they should be free from national sentiment and cherish the desire for a world organization which would operate for the security and welfare of mankind.

Then there is another aspect of the Chinese cultural heritage that is worth preserving -- humanism. Chinese humanism emphasizes human relationship and teaches men how to live in harmony with one another. A sense of justice and fairness, a spirit of tolerance, a readiness to compromise, coupled with a determination to enforce the observance of these virtues against the teachings of extremists -- these are the true foundations of human relations. In the course of centuries, the Chinese have developed many institutions and customs to conserve and perpetuate society, to give protection to individuals, and to strengthen proper relationships among the people.

It would, of course, be a mistake to talk about "preserving our cultural heritage" in the sense that we would restore "the tradition of the good old days". One remarkable characteristic of Chinese culture is its power of adaptation. The Chinese culture has survived many revolutions and radical changes; it has been constantly reborn and reoriented. In its development, Chinese culture has absorbed many heterogeneous elements through an assimilating power that testified to its vitality. It has also undergone transformation in consequence of alien influence. So Chinese culture must be viewed not only in terms of its social, moral, intellectual, and artistic traditions, but also in terms of the alien ideas and practices assimilated into its system.

One purpose of this study is to find out what Western concepts of human relations in general, and of leadership in particular, can be assimilated to good advantage by the Chinese.

In Chapter II, Literature Review, traditional Chinese leadership philosophy of 3000 years and current Western leadership theories are reviewed. In Chapter III, Data, two sets of data on key leadership factors and traits are presented, one being what is perceived as key elements of leadership by some Chinese officers and the other by some American officers. The methods used in the gathering of the data are described.

Chapter IV, Analysis, discusses what ramifications which the fine traditions the Chinese people have regarding leader-follower relationships may entail in the exercise of leadership by Chinese officers and what Western leadership concepts can be assimilated to good advantage by the Chinese.

## II. LITERATURE REVIEW

### A. TRADITIONAL CHINESE LEADERSHIP PHILOSOPHY OF 3000 YEARS

#### 1. Traditional ideas still having a strong hold on the popular mind

The Chinese take pride in upholding their cultural heritage. Take the Chinese language as an example. In any printed page in Chinese, one comes across scores of set phrases that have a very long history: If one misses somebody "very much", one says 一日三秋 (one day apart seems like three seasons), a phrase that had its origin in *Book of Odes* [Ref. 2], having a history of at least 2,500 years. If one wants to say that something is developing "very rapidly", the phrase 一日千里 (a thousand miles a day) is at the tip of one's tongue. This phrase was first used in *Historical Records* [Ref. 3], which was published 2,000 years ago. When one speaks about somebody "being too stingy", one says that he is 一毛不拔 (unwilling to give up even a hair), which first appeared in *Mencius* [Ref. 4]. There are hundreds and hundreds of such well-turned phrases that have been used for thousands of years by the noble and the humble alike, and will certainly be in good usage in the generations to come. To the Western mind this is unthinkable. Any set expressions in English similar to these, no matter how graphic, how forceful, how terse and pregnant they may sound, will have become regarded as cliché after long use and will have long been discarded.

Likewise, many Chinese traditional ideas, especially those about human relations, seem to have planted their roots deeply in people's minds, without people's conscious effort to acquire or keep them.

For instance, a teenager calling his mother by her name and giving her an affectionate little pat on the back, probably regarded by the average American as quite commonplace, is something outrageous to the Chinese: it goes against their tradition of propriety. A modern Chinese is still influenced by the ancient edict that "there are three things that are unfilial, and to have no posterity is the most unfilial of them all" (不孝有三, 無後為大). It is not

an exaggeration to say that the Confucian motto 禮義廉恥國之四維，四維不張，國乃滅亡 (Propriety, morality, sense of honor, and sense of shame are the four pillars of society, without which the society collapses.) can be repeated from memory by practically everybody over eighteen.

Today, traditional ideas about leadership still have a strong hold on the popular mind. For instance, when asked "why do you follow?", the average Chinese would immediately think of the Confucian maxim: "There is government, when the prince is prince, and the minister is minister; when the father is father, and the son is son.", which he would regard as a yardstick whereby his own behavior should be measured. Or he would answer he didn't know exactly why, but that his parents and teachers had, since he was very young, always taught him to show deference to seniors and superiors, to take heed of what they said, and to obey their commands. Or, if you asked a Chinese "What makes good leadership?", he would probably come up with a list of qualities couched in such words as *ren* (仁 human-heartedness), *yi* (義 uprightness), *li* (禮 propriety), *zhong* (忠 loyalty), *shu* (恕 forgiveness), which befit a description of the fine traits of an ancient Sage-King.

## **2. How traditional ideas of leadership have evolved**

Traditional Chinese ideas of leadership may be summarized as: (1) voluntary subordination of the led to the leader, and (2) exertion of influence by the leader through exemplary conduct.

As government is a system whereby political leadership is exercised, an analysis of the development of the government systems in China will help to throw light on how traditional ideas of leadership have evolved and why they have had such tenacious hold on people's minds.

The Chinese society was held together not by power of law as much as by ethics and customs. The state and the individual were regarded in the imperial times as one entity under the control of the same code of ethics. The government was an ethical-political system under which the emperor was responsible for setting a perfect moral example for his officials and for his peo-

ple so that all would be ruled by the power of his goodness and imbued with his virtue and moral influence.

But the emperor had too much power. He was the administrative director of the state; officials derived their authority only from him. In the emperor resided the power of legislation, and at the same time he was the supreme judge. Therefore, the whole power of the government -- legislative, executive, and judicial -- was vested in his person. Then, after the downfall of Ch'in dynasty (221-207 B.C.), when the existence of the imperial system was endangered, it became necessary to work out a new philosophy that would justify the imperial system and, at the same time, impose a check on its absolute power. The result was the advocacy of an ideal state that was a combination of "democracy" and "aristocracy", and the advocacy that the best ruler was one who ruled the least. On the basis of these ideas, a government based on the Taoist doctrine of *wu wei* (無為 non-action, or laissez-faire)[Ref. 5] and the delegation of authority evolved. An ingenious formula of "subjecting the people to the ruler and the ruler to Heaven" was put forward, with which to combat misgovernment by the emperor. It must be conceded that under this system there was no limitation on the power of the emperor. Yet the emperor was at least subject to the judgments of Heaven, whose reaction was shown by the manifestation of abnormal phenomena in the natural world. Such natural phenomena were interpreted by the scholars as divine disapproval of the emperor's misdeeds, and by such means they were able to effect certain reforms.

The "democratic" element of the system was the exercise of the power of impeachment and the power of examination by the ministers, independent of the emperor, to ensure an efficient and honest government.

About the system of impeachment, though it is true that the censors did not function entirely independent of the emperor, yet there was no lack of instances where they acted promptly and uncompromisingly, in the face of obstacles, to defend law and justice. They pointed out administrative errors and mistakes committed by the ministers, and impeached those who were guilty

of misconduct, no matter how high their ranks. They also criticized the emperor for improper conduct and redressed the grievances of the common people. The entire empire was subject to the supervision of the censors. It is true that the emperor always had the last say; yet he was usually wise enough to know better than to weaken the authority of the censors.

Throughout Chinese history the emperors counted heavily upon the assistance of loyal, capable ministers, who employed the system of examination to ensure that elites were selected for government service. That's why this time-honored system was inherited continuously, dynasty after dynasty. The examination system also makes for a kind of popular representation in the imperial government: the candidates were chosen not only on the basis of their academic achievements, but also in proportion to the relative size of the population of their home districts.

Without question, such a form of government fell short of what we may call modern democracy; still, we have to admit that separation of the power of examination and the power of impeachment and censorship did much to mitigate the force of despotism.

And then there was the local government. Although the district magistrate was appointed by the emperor, the actual management of the district was in the hands of a group of headmen selected by the local people. The hierarchy intervened only when the districts failed to function or fell out with one another. The central government received from every district annual reports regarding the local administration, sent inspectors to the various districts on a regular basis, and decreed the promotion and punishment of the local officials. When the magistrate of a district distinguished himself, he could be promoted to the position of governor of a province. If the governor of a province was outstandingly good, he might be promoted to a higher post in the imperial court.

Then came the republic in early 20th century. It regarded Western constitutionalism as one of its principal political aims and a necessary condition for establishing China as a modern nation.

The Constitution is a five-power constitution, the five powers being the legislature, the executive, the judiciary, the supervision and the examination. The legislature is concerned with the enactment of law; the executive with the enforcement of law; and the judiciary with the application and interpretation of law. These three powers are exercised by three distinct departments independent of one another. The deficiency of a three-power constitution is that it makes no provision for human weakness. Law alone is not enough to ensure good government; much depends on the man who administers the law. This five-power constitution acknowledges the human element in its provision for independent examination and control departments, concerned respectively with the supply and control of government personnel.

The district, the basic political unit in the government framework, is run directly by the people. The people reserve for themselves the right to exercise all political powers.

From this historical review, we may get some idea of how the legacy of political leadership the Chinese civilization bequeathed upon this generation has succeeded in perpetuating itself.

### **3. The idea of "everybody finding his place in society" firmly entrenched in people's minds**

Why should people agree to submit to the will of their superiors? Some scholars believe that this is part of human nature. Freud in his *Moses and Monotheism* says: "We know that the great majority of people have a strong need for authority which they can admire, to which they can submit, and which dominates and sometimes even ill-treats them .... It is the longing for the father that lives in each of us from his childhood days ...." It is hard to say how tenable this argument is, since it can neither be proved nor refuted by empirical evidence.

"Everybody finding his place in society", or "There is government, when the prince is prince, and the minister is minister; when the father is father, and the son is son." [Ref. 6] is an idea that is firmly entrenched in the minds of the Chinese people. One plausible reason as to why this is so is that

the bulk of the populace -- 80% maybe, at least in Mainland China -- continue to be agricultural and have remained grouped in ancestral clans. As a result, the ancient patriarchal social system has maintained itself and the classical teachings and ancient customs continue to be followed, the only difference being that what only the nobles were formerly allowed to practice is now practiced by the common people as well.

An historical account as to how the traditional political and economic organization was built upon an elaborately graded hierarchy may help acquaint the reader with the development of the patriarchal system in China.

The early Zhou dynasty (11th. century - 256 B.C.) was a time of rule by a feudal aristocracy, under which each of the feudal states was either a fief created by Zhou, or a state that had already existed before Zhou. The ministers and high officials within these states were all members of the ruling families and held their offices in hereditary perpetuity, whereas the common people were denied any share in the political power. In *Zuo Zhuan* [Ref. 7] it is stated:

As the days have their divisions, so men have their ranks. It is only natural that inferiors should serve their superiors. Therefore, the king has the ruler of each feudal state as his subject; the rulers have the great prefects as their subjects; the prefects have their officers; the officers have their subalterns; the subalterns have their multitude of petty officers; the petty officers have their assistants; the assistants have their employees; the employees have their menials. For the menials there are helpers; for the horses there are grooms; and for the cattle there are cow herds. So there is provision for all things.

The graded ranks of society were not merely political, but also economic. Intimately connected with feudalism was the economic system known as the *jing tian* 井田 (well-field) system. Here is a description of this system. All land was divided into large squares, each subdivided into nine smaller squares. Each of the eight outer of these nine squares was cultivated by one family for its own use, while the produce of the ninth central square, cultivated in common by the eight families, went to the support of the overlord. When the Emperor invested the male branches of his family with land grants, those so invested acted both as political rulers and as economic landholders. These feudal lords, in their turn, divided this land among their relatives, and these



relatives divided this land again among the common people for cultivation. The common people could not themselves own land, and so were mere agricultural serfs of their political and economic overlords. In times of peace they were required to labor for their lords, and in times of war they had to be ready to sacrifice their lives.

The ruler and the ruled at each level were living in such close proximity that they were always keenly alive to the necessity of finding their own respective place in society.

Chin Shi-huang (First Emperor of Chin dynasty) dealt feudalism a decisive blow by relegating the royal families of all the states he had conquered to the level of the common people, although during the several years of civil warfare following the death of Chin Shi-huang, several of the members of the former ruling families succeeded in raising armies and returning to power. Despite the fact that unification was once more effected through the founding of the Han dynasty (206 B.C. - 220 A.D.), which allowed feudalism to be revived by granting fiefs to his meritorious ministers and to former nobles to retain their rank, the feudalism thus revived was only a shadow of its former self.

The long-existing *jing tian* system, in which land was the private possession of state rulers and nobles, by whom it was parcelled out to the peasant serfs, was now kept intact in form only: in essence, it was completely transformed. The central square now was the public field, and the eight families now cultivated this public field in common. The other parts of the land were given to the people. The produce from the central public field constituted the revenue of the ruler, nobles and officials, who therefore did not need to cultivate themselves; but this produce was in the nature of a tax to the state, rather than of something given by agricultural serfs to their overlord.

Later the *jing tian* system was completely abolished, and the demarcation line between nobility and the commoner became blurred, which marked the breakdown of feudalism. Yet, the ideology of respect for an elaborately graded hierarchy of reverence toward prince and restraint upon subjects,

upon which feudalism was built, has been upheld and put into practice by later rulers.

The above account may help to explain why the idea of "everybody finding his place in society" persists in people's minds.

#### **4. Self-cultivation of character helping to smooth human relations**

In my father's generation and in the generations before his, school children used to begin their first academic studies with ancient teachings on the cultivation of character, which of course was entirely beyond the mental range of children of six or seven. Nevertheless, these teachings were committed to memory so that they stuck in the minds of the students for life and served them usefully afterwards. People of today's generation no longer go through that kind of education, but somehow such teachings get assimilated into their minds without their knowing it. They serve as yardsticks whereby the actions of all men, the leader and the led alike, are measured. Those who act on them will win popular approval, and those who act against them are sanctioned by public opinion. These teachings are those of humanism, or of human-heartedness (*仁 ren*), which, to the Chinese, is the true foundation of human relations.

The concept *ren* is difficult to explain. It embraces all the moral qualities which govern men in their relations with one another. In Chinese writing, this character is composed of "two" (二) and "men" (人), signifying the relationship between men. "Human-heartedness" and "man" are pronounced the same in Chinese, and in certain instances in Confucian books the two words are actually used interchangeably. *Ren* has also been translated into such words as "morality", "virtue", "kindness", "love of man", "benevolence" and "true manhood", but I think "human-heartedness", though there isn't such an English word, comes closest to its true meaning in Chinese.

The essential idea of *ren* is a conception of the state when a man demonstrates goodness in his relations with other people. To Mencius, this goodness is innate, which if further developed, will make of him a Yao or a Shun (堯舜) legendary monarchs in ancient China said to have existed about

3000 years ago. They are the sages and heroes par excellence of the Confucians.) To Hsun Zi [Ref. 8], however, this goodness is acquired. He believes that human nature contains the beginnings of evilness; but at the same time man possesses the faculty of intelligence, and therefore, if told about such things as the proper relationships between father and son, or ruler and subject, he can learn to acquire them himself. This is accomplished through practice. A man who accumulates practice in hoeing and plowing becomes a good farmer; a man who accumulates experience in the buying and selling of goods becomes a good merchant; and a man who accumulates goodness in his heart becomes a good man.

So the Confucians believe that no matter what a person thinks human nature is, he will agree that through acquiring and developing the habits of love and respect in the home, one could not but extend this mental attitude of love and respect to other people's parents and elder brothers and to the authorities of the state. The teaching of young children to love their parents and brothers and to be respectful to their superiors lays the foundation of right mental and moral attitudes for growing up to be good citizens. When man's behavior is reduced to habit and imitation, it becomes easy to explain why Confucian teachings have been so widely accepted and practiced, and why Confucian moral maxims have become an expression of strong popular conviction instead of mere aphorisms or platitudes.

The right mental and moral attitudes people try to develop which may help smooth human relations include the following:

a. *Reciprocity* (恕, *shu*)

*Shu* may be regarded as the central thread of all Confucian teachings. The word for *shu* is written in Chinese with the two elements "a heart" (心) and "alike" (如). In modern Chinese this word usually means "forgiveness", but the real meaning of *shu* is what Confucius repeatedly said: "Do not do unto others what you would not have others do unto you.", which is the ancient meaning of the word "reciprocity". The transition from "heart alike" to "reciprocity" and then to "forgiveness" is easy to make and to under-

stand, for if you assume that all men's hearts are alike, that all men's reactions are the same in a particular circumstance, and if you place yourself in the other man's position, you would naturally not want to do anything that would be harmful to him, and you would naturally forgive him if he has done wrong to you. So if you are in a high position, you do not domineer over your subordinates. In a subordinate position you do not court the favors of your superiors. You put in order your own personal conduct and seek nothing from others. So you have no complaints to make and rail against no men.

b. *Loyalty* (忠, *zhong*)

*Zhong*, written in two elements meaning "heart" and "in the right place", means in Chinese "faithful adherence or unwavering devotion to somebody or to a principle", or simply as Confucius says "doing to others what one like oneself". A person of *zhong* is one who desiring to develop himself develops others; a person of *zhong* is one who is able from one's own self to draw a parallel for the treatment of others.

Mencius spoke of a king as loving wealth and of another as loving feminine beauty; but by allowing the common people also to gratify these feelings, they were able to maintain their ricks and granaries, and that there were no dissatisfied women or unmarried men. In his learning, Mencius succeeded in fully comprehending the doctrine of Confucius, and his idea in this statement is the same as that expressed by Confucius in *Lun Yu* (論語) [Ref. 6]: "In developing oneself one develops others, and in maintaining oneself one sustains others." To insist on having no desires oneself, and at the same time to be indifferent to the desires of others, is nothing more than a dried-up gourd. Therefore men who refrain from ambition, boasting, resentment and desire are ascetics whom the Confucians do not like. Such men are not equal to those who through their own desires come to know the desires of others, and who through their own dislike come to know the dislikes of others.

c. Uprightness (義 yi) and propriety (禮 li)

People try to develop yi and li. Yi is basic; it is a man's inner virtue, uprightness, righteousness, sincere genuineness. Li is secondary; it is propriety, proper manners.

To have uprightness or yi, a man must neither deceive himself nor deceive others. He must give true outward expression to what his mind likes and dislikes, as is shown in the following passages from *Lun Yu*:

The Duke observed to Confucius: "In my part of the country there is a man so upright that when his father appropriated a sheep he bore witness to it." Confucius said: "The upright people in my part of the country are different from that, for a father will screen his son, and a son his father. In that there lies uprightness.

The Master said: "Who says Wei-sheng Gao is upright? Someone begged vinegar of him, where upon he begged it of a neighbor who gave it him.

Zi Gong asked: "What would you say of the man who is liked by all his fellow-townsmen?" The Master replied: "That is not sufficient." "Then what would you say of him who is hated by all his fellow-townsmen?" The Master replied: "Nor is that sufficient. What is better is that the good fellow-townsmen should like him, and the bad hate him.

From the above passages from *Lun Yu* we can see that yi is what comes from within. It is the direct expression of one's heart. When a father has appropriated someone's sheep, the son ordinarily would certainly not wish the fact to become known. This is simply human nature. But in the above story the son bore witness to the fact that his father had appropriated a sheep. In this case the son either wished to get the name of uprightness through sacrificing his father, or lacked feeling toward his father. Hence this could not be true uprightness.

A man who is upright acts according to his own feelings, whereas a man who is crooked acts according to the feelings of others. When one's own family has no vinegar, it is appropriate to refuse another man's request for it. But in the present case the request was granted solely because it was feared that the other person would not be pleased with a refusal. In so doing the giver failed to be able inwardly to set himself his own standard, while at the same time he could not avoid betraying himself in order to retain the good

opinion of another. Pushed to the extreme, such a man becomes false and artificial, and hence an act of this kind cannot be called upright.

A man hated by all his fellow-townsmen would inevitably be one deficient in natural kindness. On the other hand, the man liked by all his fellow-townsmen would be a man who tries to please everybody, striving thereby to make them pay court to his own goodness.

While *yi* is a quality to be prized, there must still be propriety, a code of proper manners (*li*) to put *yi* into practice. Respectfulness uncontrolled by *li* becomes labored effort, caution uncontrolled becomes timidity, boldness uncontrolled becomes insubordination and uprightness uncontrolled becomes rudeness. [Ref. 6]

d. *Sense of moderation* (中庸 *zhong yong*)

The Chinese are possessed of a sense of moderation. Many Westerners lay emphasis on the hope of entering the Kingdom of God, which means the creation of a new world. Hindus place stress on the hope of reaching Nirvana, which means renunciation of the world. To the Chinese, both are too extreme, they fail to maintain the balance of the universe. The Chinese hold the position of the mean. Confucius says: "When things are carried to extreme, there will be occasion for repentance." *Yi Jing* [Ref. 9] says:

The superior man, when resting in safety, does not forget that danger may come; when in a state of security, he does not forget the possibility of ruin; and when all is in a state of order, he does not forget that disorder may come.

This is also the doctrine of Lao Zi (老子):

Calamity will promote blessing; blessing underlies calamity. Who knows the end of this cycle? How can there be absolute right? The right may turn out to be wrong; the good may turn out to be evil.

This doctrine of the golden mean, which the ancient sages and philosophers often talked about in their teachings, has had a great influence on the Chinese people. The Chinese learn to remain cautious in time of prosperity, and hopeful in time of extreme danger. To attain the mean is a way of action that avoids going to extremes, a state of mind in which human reason-

ing and feeling reach perfect harmony. This is why the ancient sages and philosophers taught the Chinese to never attempt too much -- that is, not to be one-sided and extreme, but to attain the golden mean.

*e. Other qualities*

The foregoing is not a complete list of the right mental and moral attitudes the Chinese people try to develop. There are other qualities many people try to cultivate. For instance, there are those advocated by Confucians, which may include: fortitude (勇 *yong*), sincerity (誠 *cheng*), harmony (和 *he*), enlightenment (明 *ming*), feeling of commiseration (惻隱, *ce yin*), feeling of shame (羞惡 *xiu wu*), feeling of modesty (謙讓 *ci rang*), sense of right and wrong (是非 *shi fei*), respect (尊重 *zun zhong*), magnanimity (寬容 *kuan rong*), earnestness (認真 *ren zhen*). There are those advocated by Taoists, which may include: unadorned simplicity (素樸 *su pu*); and those by Mohists, including universal love (博愛 *bo ai*).

Radical changes have taken place since the downfall of the last dynasty early this century, which are characterized by a shift away from traditionalism toward Westernization: The traditional educational system, strictly confined to the teaching of the Confucian classics, has been supplanted by a modern school system; a new type of intellectuals, trained in the knowledge of the West, has emerged. However, the old value system, the traditional concept of social norms about human relations, has persisted. This is because it is based on humanism, which is revered by the Chinese people as a religion is revered by its believers.

## **B. CURRENT WESTERN LEADERSHIP THEORIES**

We are next going to review some Western leadership theories, to prepare the way for an analysis in Chapter IV as to what Western leadership concepts can be assimilated to good advantage by the Chinese. The following Western leadership theories are reviewed here: the power-influence theory, the leader trait theory, the leader behavior theory, the situational theory, the social exchange theory and the transformational theory.

## 1. Power-influence theory

The power-influence approach attempts to account for leader effectiveness in terms of the source and amount of power available to leaders and the manner in which leaders exercise power over followers.

Very often, military leadership is facilitated by the authority vested in command. An incident which took place in the hedgerows of Normandy illustrates this point.

A Young Lieutenant gave an order to his platoon to advance and then jumped over the hedgerow ordering "Follow me". When no one followed, He returned and re-issued the order with considerably more emphasis but with the same result. When he returned the second time, he said, "This time I am going to order you to move when I say 'Go', and I will shoot who fails to obey". It worked. [Ref 10]

This story implies that sometimes without authority there will be no leadership. However, where does a leader get power? Leaders derive power from both organizational sources and personal characteristic. They are called position and personal power, respectively.

Three bases of power are available to a leader because of his position in the organization: reward, coercive, and legitimate power [Ref.11]. Reward power is the extent to which a leader can use extrinsic and intrinsic rewards in order to control other people. This power is based on a follower's perception that the leader has the capacity to reward and that the reward will be pleasant or satisfying of some needs.

Coercive power has to do with the negative things that followers believe the leader can do. This power is based on a follower's perception that the punishment will be unpleasant or frustrate some needs. The third base of position power is legitimate power. It seems to come from the internalized values of the other persons which give the legitimate right to the person to influence them.

Two bases of personal power are expertise and reference. Expert power is the ability to control another's behavior due to the possession of knowledge, experience, or judgment which the other person does not have but



needs. Referent power is the ability to control another's behavior because of his wanting to identify with the power source.

In order to comprehend the influence process in leadership, it is necessary to consider the influence of subordinates on the leader as well as the leader's influence over subordinates. Below are some of the more important sources of subordinate power: [Ref. 12]

*a. Collective power.*

This power derives from subordinates' membership in a union or an informal association of soldiers that can collectively prevent the leader from reaching desired objectives.

*b. Information power.*

Individual subordinates derive the power from control over vital information. When subordinates have exclusive access to information that is used by superiors to make decisions, this advantage can be used as a source of subtle influence over the superior's decisions through information distortion. [Ref. 13]

*c. Expert power.*

This derives from the leader's and organization's dependence upon subordinates' expertise, special skills, or knowledge. [Ref. 14]

*d. Flattery power.*

A final source of upward influence for a subordinate is the demonstration of approval and loyalty. People who have lower power and status often try to use flattery and praise to ingratiate themselves with high-status persons. If flattery and praise appear insincere, however, they are unlikely to be effective.

All aspects of position power, personal power, and subordinate power are important for leader effectiveness. Influence based on the personal power of a leader is usually associated with greater subordinate satisfaction and higher performance; however, if a leader badly underestimates subordinate power and is irresponsive to subtle influence attempts by subordinates, then they are likely to resort to threats or overt acts of hostility.

## **2. Leader trait theory**

What characteristics or traits make a person a leader? The earliest trait theories concluded that leaders were born, not made [Ref. 15]. The Greek philosopher Plato was among the first to suggest that "Great leaders were born to their greatness." [Ref. 16]. This view is later termed the "great-man theory."

The great-man theory has lost much of its acceptability because evidence was contradictory. Researchers then shifted their attention to the trait approach. This approach differs from the great-man theory by contending that leadership can be learned.

Various studies of traits have been made; however, attempts to discover the traits that distinguish leaders from followers have been disappointing, because of contradictory findings. The only conclusion that has received limited support is that leaders excel followers in intelligence, scholarship, dependability, activity, social participation, and social-economic status [Ref. 16].

Therefore, critics of the trait approach focused on two main issues. First, they felt that personality measures typically were unreliable and that our efforts should concentrate more on actual observations of leader behavior. Second, they considered the issue of the situation [Ref. 17].

## **3. Leader behavior theory**

Leadership style and behavior are usually treated as synonyms, both pointing to what leaders do. This new tactic differs from the trait approach in two major ways. First, it focuses on actual leader behavior rather than personal traits, and second, it seeks to determine how specific behavior affects the performance and satisfaction of followers and to find intervening variables [Ref. 18].

The most comprehensive of the behavior theories resulted from the research that began at Ohio State University in 1945. The emphasis of the research was the identification of leadership behavior that is instrumental for the attainment of group and organizational goals. Studies were made of Air

Forces Commanders and members of bomber crews, non-commissioned personnel, and leaders of various student and civilian groups [Ref. 15]. Beginning with over a thousand dimensions, they eventually narrowed the list to two categories that substantially accounted for most of the leadership behavior described by subordinates. They called these two dimensions initiating structure and consideration.

The Ohio State research suggested that the Hi-Hi style (high in consideration and initiating structure) often resulted in positive outcomes about subordinate satisfaction and performance. However, the different results from study to study also indicate that the effects of leader behavior on subordinate satisfaction and performance depend to a great extent on the nature of the situation [Ref. 19].

There were other efforts on behavior theories. R. Likert (1961) emphasized the importance of investigating the variables including subordinate attitudes and motivation. D. G. Bowers and S. E. Seashore arrived at a conclusion that subordinates themselves might engage in leadership behavior, with implications for leadership effectiveness [Ref. 20]. But they failed to identify consistent relationships between patterns of leadership behavior and group performance because results would vary over different ranges of circumstances. What was absent was consideration of the situational factors that might play a decisive role in leadership [Ref. 21].

#### **4. Situational theory**

##### **a. *Fiedler's Contingency Model (1967)***

During the early 1950's at the University of Illinois, Fred Fiedler, like many other researchers in the field of leadership, was studying trait theory. His approach, however, was slightly different from that of the Ohio State studies. He was using an instrument he had devised called the LPC (Least Preferred Coworker). A person filling out the LPC was asked to think of all the people with whom he had worked and to focus on the one with whom he had the most difficult time: his least preferred coworker [Ref. 22]. A low LPC score indicated that that worker had rated his coworker negatively on most of the

items, saying that "if I can not work with you, you are a bad person." A low LpC score denoted task accomplishment as a key in rating others. A high LPC score indicated that the worker had rated his coworker positively on most of the items, saying "although I cannot work with you, you are a good person in most respects." A high LPC score denoted an interest in interpersonal relations and other aspects of group activity.

Fiedler identified three major variables which contribute to "situational favorableness": (1) the interpersonal relations between the leader and his followers; (2) the degree to which the group's task is clear cut and unambiguous; (3) the leader's ability to reward or punish the group members. What Fiedler discovered was that under very unfavorable or very favorable situations, the best style of leadership was task-directed. Under somewhat favorable or unfavorable conditions, the best style of leadership was human relation-directed [Ref. 23].

Although Fiedler has made some important insights into leadership, the model has some weaknesses. The major criticisms are as follows: [Ref. 24]

1. The variables are complex and difficult to assess. It is often difficult to determine how good the leader-member relations are, how structured the task is, and how much position power the leader has.
2. The model gives little attention to the characteristics of the subordinates.
3. No attention is given to varying technical competencies of the leader or the subordinates.
4. The LPC instrument is open to question. The logic underlying the LPC is not well understood and studies have shown that respondents' LPC scores are not stable [Ref. 25].
5. The situational measures may not be entirely independent of the leader's LPC score. In most of the studies testing the model, the measure of leader-member relations were both obtained from the leader.

#### ***b. Path-Goal theory***

Path-Goal theory was formulated in an effort to explain how leader behavior influences motivation and satisfaction of subordinates. The first version by Evans (1970) did not contain situational variables, but the next version

[Ref. 26] did. The theory was based on Vroom's expectancy theory (1964). According to this theory, the leader's job is seen as being one of (a) clarifying the tasks to be performed by the subordinates, (b) clearing away any roadblocks that prevent goal attainment, and (c) increasing the opportunity for the subordinates to obtain personal satisfaction or as needed for future satisfaction. For example, if the leader sits down to help a subordinate fill out the monthly cost control report, this is an immediate source of satisfaction. In addition, some subordinates have a high need for affiliation or esteem. Supportive leaders help fill this need. Other subordinates have high needs for autonomy or self-actualization. Leaders who are less directive are often most successful in helping out these individuals.

Thus the specific dimensions of the style are important. Some people respond best to leaders who are friendly and approachable and who show a concern for the well-being of subordinates. Others respond best to leaders who tell them what is expected of them, provide specific guidance regarding what is to be done and how it is to be done, maintain performance standards and work schedules, and ask the members to adhere to rules and regulations.

To the extent that leaders help clarify path-goal relationships, their behavior is seen as acceptable. However, when tasks and goals are readily evident and the work is basically routine, any attempt to further explain the job is seen as unnecessarily close control. A manager giving job directions to assembly-line workers provides a common illustration. While the leader may view his or her actions as important in preventing "goofing off", the subordinates see them as excessive, and they serve to decrease job satisfaction. In such a setting, a supportive leader is more likely to have satisfied employees than is a directive leader.

On the other hand, when the task is highly unstructured, a directive leader is more likely to have satisfied employees. Unsure of how to handle the situation, subordinates welcome guidance and direction. An illustration is found in the case of a new shipping clerk who is confused about proper com-

pany procedures for handling new customer orders. By providing assistance to the individual, the leader helps the person reach his or her goal, a source of intrinsic job satisfaction.

Effective leadership behavior, therefore, is based not only on the willingness of the leader to help out his or her followers, but also on the needs of the subordinates for such assistance. If the leader wants to have highly satisfied subordinates, he or she usually needs to employ high direction on unstructured tasks and low direction on structured ones.

According to House and Mitchell (1974), directive leadership will increase worker effort when role ambiguity exists. Supportive leadership will increase effort when the work is unpleasant. Participative leadership will increase effort when task ambiguity exists. Achievement-oriented leadership increases effort when tasks are ambiguous and non-repetitive. Research supporting these hypotheses is mixed. More support is found for the effects of leader behavior on subordinate satisfaction than for the hypothesis about the effects on performance [Ref. 27].

### **5. Social exchange theory**

Social exchange theory is based upon the notion that the process of influence between leaders and groups is reciprocal. Leaders and followers influence each other; therefore, leadership is not a one-way concept, as had been implied by trait, leader behavior, and even most situational theories. A leading proponent of leadership as a social exchange is composed of three elements: the leader, the follower, and the situation. None of the three is self-sufficient. *Trust and a perception of fairness are important. The leader gives direction to the group, defines its reality, and sets its goals thereby defining its roles. But the psychological contract for the group is dependent upon group expectations and depends upon the process of negotiation. The balance of the group and its success depends upon a process of exchange where the leader gives something and gets something in return. Research seems to verify Hollander's position by suggesting that subordinates affect leaders as much as leaders affect subordinates [Ref 15 ].*

## 6. Transformational theory

Transactional leadership also has its limitations and shortcomings. In his 1978 book called *Leadership*, James McGregor Burns was the first to define transformational leadership. He said that the transformational leader:

...recognizes and exploits an existing need or demand of a potential follower. But, beyond that, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents. (p. 4)

This definition has been expanded upon and used by several theorists in the transformational leadership literature, including Bass (1985), Peters & Waterman (1982), Bennis & Nanus (1985), and Tichy & Devanna (1986).

Positive and aversive contingent reinforcement are the two ways managers employ in transactional leadership to influence employee performance. The usual forms of contingent reward include: praise for work well done, public recognition and honors for outstanding service, pay increases, bonuses and promotion. Contingent punishment can take several forms. The manager may merely call attention to a deviation from norms. Being told of one's failure to meet standards may be sufficient punishment to change behavior. Being told why one has failed can be helpful, especially if the negative feedback is coupled with further clarification about what kind of performance is expected. But other penalties, such as fines, suspensions without pay, are not likely to promote effectiveness. Apart from the fact that punishment usually breeds resentment, which of course does not help performance, punishment generally has negative effects on the learning process to prevent future errors. Empirical evidence indicates that punishing an individual for making errors may, instead of erasing the errors, simply make the learner concentrate on them, and not on acquiring corrective behaviors.

Transactional leadership becomes ineffective when noncontingent rewards (people are treated well regardless of performance) will work just as well to boost performance. Noncontingent rewards may provide a secure situation in which employees' self-reinforcement serves as a consequence for

good performance. An employee's feeling of obligation to the organization for providing noncontingent rewards fuels his effort to perform at least adequately. The Japanese experience is exemplary. Companies and employees feel a mutual sense of life-time obligation. Being a good family member does not bring immediate pay raises and promotions, but overall family success will bring year-end bonuses. Ultimately opportunities to advance to a higher position with better pay will depend on overall meritorious performance.

Then, some people, particularly task-oriented and experienced subordinates, are self-reinforcing. When they have done something well, they don't mind what other people think they have done. And many subordinates attach more importance to coworkers' comments about their work, and to their own comparisons with the work of others, while supervisors tend to put the most weight on their own comments to their subordinates and to recommendations for rewards they, as supervisors, can make. So there will be clashes of opinion. Then, transactional leadership may fail because the leader cannot, or lacks the reputation for being able to, deliver rewards.

From the above discussion, we can see that contingent approval and disapproval may help to improve subordinates' understanding of what is expected of them, but sometimes fail to have much effect on motivation or performance.

The transactional leader lets his subordinates know what is expected of them and what they can hope to receive in exchange for fulfilling expectations. The transformational leader, on the other hand, develops a new vision for the organization, mobilizes people to accept and work toward achieving the new vision, and institutionalizes the needed changes.

**a. *Creation of a vision***

The transformational leader must provide the organization with a vision of a desired future state. A vision of a desired future state is needed only when the existing state is undesirable; organizations do not change unless there is something which indicates change is needed. This something, or trigger, can be as extreme as the Chrysler impending bankruptcy or as



moderate as an abstract future-oriented fear that an organization may lose its competitiveness. For example, General Electric's trigger for change is a view that by the end of the century the company will not be world competitive unless major changes occur in productivity, innovation, and marketing.

In an era marked by rapid development in every facet of life, triggers for change have become commonplace and very pressing. However, not all potential trigger events lead to organizational responses, and not all triggers lead to change. Nonetheless, the trigger must create a felt need in organizational leaders. Without this felt need, the "boiled frog phenomenon" is likely to occur.

This phenomenon is based on a classic experiment in biology. A frog which is placed in a pan of cold water but which still has the freedom to jump out can be boiled if the temperature change is gradual, for it is not aware of the barely detectable changing heat threshold. In contrast, a frog dropped in a pot of boiling water will immediately jump out; it has a felt need to survive. In a similar vein, many organizations that are insensitive to gradually changing organizational thresholds are likely to become "boiled frogs"; they act in ignorant bliss of environmental triggers and eventually are doomed to failure. This failure, in part, is a result of the organization having no felt need to change.

An organization's new vision may be created through the concerted effort of a number of people. Triggers are identified, opportunities and constraints are assessed in committee sessions to evoke agreement and commitment to a new mission statement. Or, a new vision can be developed by a single person, without committee work or heavy staff involvement. The challenge to organizational revitalization is not how the visions are created but the extent to which the visions correctly respond to the pressures. The new vision should be a response to true needs and is based on informed choice. And mobilization is directed toward support for general and comprehensive values that express followers fundamental and enduring needs.

### ***b. Mobilization of commitment***

The transformational leader should make the people accept the new mission and vision. He can achieve this by getting them to transcend their own self-interest for the sake of the organization, the larger polity, and by raising their level of consciousness about the important value of designated outcomes and ways of reaching these outcomes.

The transformational leader must be charismatic. Charismatic leadership is central to the transformational leadership process. The ability to inspire -- arouse emotions, animate, enliven, or even exalt -- is an important aspect of charisma. The inspiring leader tells his men how vital the matter at hand is to the fundamental interests of the organization; he tells them they are the best group he has ever worked with, and that he is confident their efforts will be a tremendous success. But inspiration need not be emotional. Followers can be inspired by a cold, calculating, intellectual discourse, or by the beauty of an argument. It is the followers' emotions that ultimately have been aroused. Followers may hold an intellectual genius in awe and reverence, but the inspirational influence on them is emotional.

Intellectual stimulation arouses in followers the awareness of problems and how they may be solved. It stirs the imagination and generates thoughts and insights; it is not a call for immediate action aroused by emotional stimulation. This intellectual stimulation is manifest in a discrete leap in the followers' conceptualization, comprehension, and discernment of the nature of the problems they face and their solutions. What may intellectually separate the two kinds of leaders is that transformational leaders are likely to be more proactive than reactive in their thinking, more creative, novel, and innovative in their ideas, and less inhibited in their idealizational search for solutions. Transactional leaders may be equally bright, but their focus is on how best to keep running the system generated by observed deviances and modify conditions as needed while remaining ever mindful of organizational constraints.

*c. Institutionalization of change*

Organizations will not be revitalized unless new patterns of behavior within the organization are adopted. Transformational leaders need to transmit their vision into reality, their mission into action, their philosophy into practice. New realities, action, and practices must be shared throughout the organization. Alterations in communication, decision making, and problem-solving systems are tools through which transitions are shared so that visions become a reality. At a deeper level, institutionalization of change requires shaping and reinforcement of a new culture that fits with the revitalized organization.

The cultural system of Chrysler underwent dramatic change after Lee Iacocca took over. First, the company had to recognize its unique status as a recipient of a federal bailout. This bailout came with a stigma, thus Mr. Iacocca's job was to change the company's cultural values from a loser's to a winner's feeling. Still, he realized that employees were not going to be winners unless they could, in cultural norms, be more efficient and innovative than their competitors. The molding and shaping of the new culture was clearly and visibly led by Mr. Iacocca. Quickly, the internal culture was transformed to that of a lean and hungry team looking for victory.

We have reviewed in this Chapter the traditional Chinese leadership philosophy of 3000 years and some Western leadership theories.

### III. DATA

We are going to put side by side what some Chinese officers regarded as key leadership factors and traits and those considered by some Western officers to be key features, and note what implications in military operation the disparities in behavior may carry.

In this chapter we are going to describe how the two sets of data are collected and what the data show. In the next chapter we are going to analyze the military ramifications the results may imply.

#### A. THE ECHO SAMPLING TECHNIQUE

The method used in this study in the gathering of information for the identification of key leadership factors and traits by some officers of the armed forces of the Republic of China is the ECHO sampling technique.

The name ECHO gives an apt description of the process -- the acquisition of information from members of a group, the processing of that information, and (like an echo) the return of the processed information to other members of the same group, for them to pass judgment on the information. [Ref. 28]

The ECHO technique is a "projective survey", reversing the usual public polling process. Polls ask the respondent to assess an evaluation to a preselected topic; the ECHO technique assesses an evaluation and asks the respondent to think of behavior which carries this evaluation.

The ECHO method is most often used as a way of measuring human values [Ref. 29]. One underlying assumption of the ECHO method is that there is a universal human tendency, common to all places and cultures, to exhibit, in both verbal and non-verbal behavior, some preferences and aversions, some obligations and prohibitions.

A second assumption is that values are held in common in homogeneous groups of people [Ref. 29]. If we ask a hundred people, "what is a good thing to do?" and eighty of them answer, "it is good to help others", we assume that the remaining twenty also believe that it is good to help others, but did not

think of mentioning it on that particular day. The value category "helping others" would then be assigned an importance of 80 percent for the group, which indicates a strong value. If five people answer, "it is good to take a vacation", we assume that the remaining ninety-five also believe it is good to take a vacation, but did not think of mentioning it. The value category "taking a vacation" would be assigned an importance of five percent, which indicates a relatively weak value, but still important enough to be mentioned spontaneously by the group. This is the reason why ECHO can use small samples and can still be quite reliable.

The sample used in our study was drawn from Chinese officers, all of whom were students of the Naval Postgraduate School in Monterey, California. The sample consisted of four navy commanders, eight navy lieutenant commanders, one army major, six navy lieutenants, and three army captains. Some of them were line officers, some supply officers, and some of them were instructors.

In the survey each of the respondents was given a packet of ten blank cards, on each of which he was expected to write down what he thought to be a key leadership factor or trait. When the cards filled out by all the respondents were collected, the information was processed in such a way that the wording of each of the features, expressed in different ways by the respondents, was standardized. Twenty-two such features were identified and each of the features was printed on a separate card. The 22 cards were then given to each of the respondents, who was asked to arrange them in order of importance. The "more important" features being those which took the first eight positions in the ordering of each of the respondents.

By multiplying the frequency a feature had been selected by the percentage of opinion that it should be regarded as a "more important" item, we were able to arrive at the relative importance of each of the 22 features, as is shown in Table 1.

**Table 1. KEY LEADERSHIP FACTORS & TRAITS AS PERCEIVED BY CHINESE OFFICERS (ECHO METHOD)**

Rank	Key Leadership Factors and Traits
1.	Concerned for subordinates' welfare
2.	Having broad and deep learning
3.	Fair and just
4.	Setting good example
5.	Having irreproachable moral conduct
6.	Good at bringing out what is best in others
7.	Good at organizing
8.	Being decisive
9.	Taking responsibility, not laying blame onto others
10.	Able to gain heart of subordinates
11.	Ready to accept innovative ideas
12.	Taking the lead in every endeavor (Follow me)
13.	Being public-spirited
14.	Having foresight
15.	Being tolerant
16.	Carrying out orders strictly
17.	Having professional knowledge
18.	Good at delegating authority
19.	Aware of subordinates' difficulties
20.	Having one's action in keeping with one's words
21.	Having subordinates know their duties
22.	Being active

Table 2. WESTERN CHARACTERISTICS OF GOOD LEADERSHIP (MCBER METHOD)

Rank	CHARACTERISTICS
1.	Concern for achievement
2.	Takes initiative
3.	Sets goals
4.	Coaches
5.	Technical problem solving
6.	Concern for influence
7.	Influences
8.	Conceptualizes
9.	Team builds
10.	Rewards
11.	Self-control
12.	Plans and organizes
13.	Directs
14.	Delegates
15.	Optimizes (People-Task)
16.	Monitors results
17.	Resolves conflicts
18.	Gives feedback
19.	Listens
20.	Understands
21.	Helps
22.	Positive expectations
23.	Coerces
24.	Disciplines

## **B. THE MCBER SAMPLING METHOD**

This is a USN sample of 141 officers drawn in a study by McBer and Company in 1977 [Ref. 30]. The project relied heavily upon the Flanagan critical incident technique, very similar to the ECHO technique of Barthol et al.

The McBer method asks respondents to describe a good thing which has happened to a leader-- what happened, what led up to it and what was the outcome, what did the leader do that was so beneficial?

Some 230 responses were generated. These clustered into 24 unique behaviors as shown in Table 2. Those behaviors clustered into five factors which can be explained as follows [Ref. 30]:

### **a. Factor I: Task achievement**

(1) *Concern for achievement.* Officers expressed a desire to "do jobs right", to meet standards of excellence, and to advance in their careers, and felt proud when they had done a job well. [Ref. 30]

(2) *Takes initiative.* Officers described taking personal initiative to overcome obstacles in accomplishing tasks.

(3) *Sets goals.* Officers articulated specific, challenging but realistic and time-phased goals for their own performance and that of their subordinates and unit.

(4) *Coaches.* Officers described helping subordinates to accomplish tasks more effectively by providing information, "showing them how", or by encouraging their personal development through training or other enriching experiences.

(5) *Technical problem solving.* Officers, particularly enlisted personnel in technical rates, described thinking analytically in solving technical problems: observing discrepancies in equipment performance (problem finding), reasoning deductively to identify the cause of malfunctions, locating needed resources, anticipating obstacles, and acting to correct problems.

### **b. Factor II: Skillful use of influence**

(1) *Concern for influence.* Officers reported being concerned about influencing others ("I wanted to convince him"), using their own power



in interpersonal relations, and being sensitive to the political factors in complex situations. [Ref. 31 ]

(2) *Influences.* Officers described acting to influence others without having to resort to direct orders or threats, using influence effectively to achieve their ends while making others feel more efficacious in the process.

(3) *Conceptualizes.* Officers described a high level of conceptual ability in problem identification, systems analysis, and policy formulation. This competency is the ability to see patterns in complex data, separate important information from unimportant, develop integrative concepts and principles and support these with specific data, and reconcile exceptions and discrepancies, usually with regard to having an impact on others or on the system.

(4) *Team builds.* Officers described encouraging subordinates to work together as a team, and to create symbols and events which stimulated unit pride and identity.

(5) *Rewards.* Officers reported rewarding others for good task performance to influence and motivate subordinates.

(6) *Self-control.* Officers reported consciously controlling their emotions, particularly anger and affiliative tendencies, when these emotions threatened to interfere with their ability to influence others or to maintain an effective leadership role.

**c. Factor III: Management control**

(1) *Plans and organizes.* Officers reported identifying the actions they needed to take at one point in time to achieve results at some later time, specifying personnel, materials and other resources needed, and prioritizing tasks to be accomplished.

(2) *Directs.* Officers, when they did not influence subordinates, clearly directed them to perform tasks without explanation and in the absence of personalized threats or punishment.

(3) *Delegates.* Officers described conscious use of the chain of command to get subordinates to take responsibility for tasks.

(4) *Optimizes (people-task).* Officers reported realistically assessing people in making personal decisions to assign tasks to those individuals most likely to do them well, and in making trade-offs between task requirements and individual needs.

(5) *Monitors results.* Officers reported monitoring follow-up, checking back to see if management actions, subordinates or equipment in fact accomplished what they were expected to accomplish in a given time period.

(6) *Resolves conflicts.* Officers described negotiating or mediating interpersonal disputes to a successful resolution, defined as a "win-win" solution, in which both parties in the dispute were relatively satisfied and neither lost a disproportionate amount of power, status or resources.

(7) *Gives feedback.* Officers reported giving specific feedback to subordinates on their task performance.

**d. Factor IV: Advising and counseling**

(1) *Listens.* Officers reported noticing when subordinates appeared to be having problems, approaching people to invite them to talk about issues concerning them, or being perceived as approachable.

(2) *Understands.* Officers described as being able to "here what others are trying to say" (accurate empathy or insight into subordinates' needs, motives or hidden agenda).

(3) *Helps.* Officers detailed the actions they took to help subordinates in counseling situations, including giving advice, making time available to talk, acting directly to "fight for their people", or making appropriate referrals to sources of help (medical personal, chaplains, drug and alcohol treatment facilities).

(4) *Positive expectations.* Officers expressed positive expectations of and regard for their subordinates.

**e. Factor V: Coercion**

(1) *Coerces.* Officers described as using rank and both general and personalized threats to motivate subordinates.

(2) *Disciplines.* Officers described punishing subordinates by giving them negative feedback, poor fitness or evaluation reports, or using standard UCMJ procedures.

We have given in this chapter a description of the ECHO and the McBer sampling techniques, which are used in the gathering of information for the identification of key leadership factors and traits by some officers of the armed forces of the Republic of China, and of the U.S.A. respectively, and the results of these studies.

#### **IV. CRITICAL ANALYSIS**

##### **A. RAMIFICATIONS CHINESE TRADITIONS ENTAIL IN EXERCISE OF LEADERSHIP BY CHINESE OFFICERS**

In Chapter II we described some of the traditions the Chinese people have regarding leader-follower relationships. In this section we are going to examine how such traditional ideas and practices may stand the Chinese officers and men in good stead in their exercise of leadership.

###### **1. Voluntary subordination of the led to the will of the leader**

Military leadership is different from business leadership. The military is not a democracy. The military needs of a country dictate having the capability of making decisions and carrying them out rapidly, of moving people rapidly from one geographical area to another or from one organization to another, without having first to consult the people concerned. An individual in the military cannot decide which requirements for performance are reasonable and therefore will be met, and which are unreasonable and will be ignored, nor determine under what conditions these requirements will be met. It is the command, higher headquarters, high authority, which determine direction. The leader is of necessity assigned by appointment rather than by election by the led according to the leader's merits. An appointment system may be undemocratic, but the military derives great strength from it -- an elected leadership will not survive in the military when a vote has to be taken on whether to follow a leader's decision or not.

It seems only natural that it should take some training and indoctrination for people to get used to the idea of having to follow orders unquestioningly. But to the Chinese, since everybody finding his place in society has become second nature, voluntary subordination of the led to the will of the leader seems to be a most natural thing to do. So from passive obedience to active participation could be a tremendous leap for other people.

which is difficult to take, but for the Chinese it means only one easy step forward.

## **2. Exertion of influence by the leader through exemplary conduct**

In the McBer survey, skillful use of influence is also stressed, items 6 through 11 in the McBer table being grouped under the heading Skillful Use of Influence. But the purpose of influence is chiefly to accomplish objectives without having to resort to direct orders or threats. This point is clearly demonstrated in the responses generated in the survey that were grouped under the Skillful Use of Influence factor; some of the responses are reproduced here:

(1) 6. *Concern for influence*:. "When any new man comes aboard you've got to tell him that he's important. You convince him that the Navy has something he can use and he has something the Navy can use." (intent to influence)

(2) 7. *Influences*:. "I did this by proposing new ways that were almost complete, but which they could make a real contribution to -- so they wound up feeling the new approach was theirs; they owned it, too. And I let them get lots of wins off me on little stuff, so they always felt they were on top -- though I got the big ones I wanted through."(selling ideas)

(3) 8. *Conceptualizes*:. "I became aware of four things I thought were affecting morale: bad-mouthing by a core group of bad apples, lack of unit identity -- much in part to overtime work, so people didn't see their families on weekends -- and infrequent rewards and recognition. So I isolated the bad apples, went to a 4-day, 10-hour week so the work got done, but guys got 3 days every week of, and organized an on-ship family Fourth of July party where I gave all the wives and kids planks (emblems, toys symbolic of ship) which culminated in an 'awards ceremony' where I praised the people doing a good job in front of their folks, etc."(overall issue is morale, reasons for poor morale are cited: actual situations and corrective solutions are stated.)

(4) 9. *Team builds*:. "I knew they (a work detail) were up against a wall. My group didn't have to help them, but we did. We all pitched in and got it done."(promote cooperation with another work group)

(5) 10. *Rewards*:. "I look for opportunities to reward people. At sea we had a flooding in the engine room. The response of the diving officer and three engine room men was just excellent. I had three COs' letters of commendation forwarded and called up the squadron CO, briefed him on the accomplishment and got the squadron letter sent."(reward for task performance)

(6) 11. *Self-control*:. "I was angry at him. I couldn't see straight. I went and had a cup of coffee to cool down. When I saw him 15 minutes later, I was able to talk it out with him calmly."(controls anger) [Ref. 30].

The Chinese would regard this kind of approach to influence as too utilitarian and too shortsighted. In the opinion of the Chinese officers surveyed in our study, exertion of influence by the leader through exemplary conduct is one of the most vital behavioral characteristics of a leader, Setting Good Example and Having Irreproachable Moral Conduct ranking 4th and 5th respectively in the ECHO table being a clear indication of this point.

To the Chinese, a leader who does not have the respect of his subordinates, whose subordinates do not believe he is doing things from a basis of values, will find that his words are considered meaningless to his subordinates. As a matter of fact, an individual who cannot accept responsibility for his own conduct cannot even begin to be a leader. Thus, a leader should strive to set a good example for those he leads. He should live up to his own expectations and abide by his own standards. He should not demand from others what he does not demand of himself. To the Chinese, personal example, of course, does not mean that the leader serves as a role model for the jobs performed by subordinates. The higher the level of the leader, the more different the content of his task is from the content of his subordinates' tasks. The leader who does his best to execute his tasks, volunteers for diffi-

cult assignments, and, particularly, is unselfish in everything he does, is setting the most desirable personal example.

To the follower, the best discipline is self-discipline. Self-discipline means that the individual is doing the right thing because he wants to do the right thing. He does the right thing willingly and gladly out of faith in the cause for which he strives and out of respect for, and confidence in the leader, instead of out of fear, or for personal gains. In striving for a high level of discipline, the leader must remember that people admire a leader who lives and acts in accordance with the code that is enforced. Nothing but resentment can result when a leader demands behavior from followers which he does not exhibit himself. The officer who expects unflinching obedience and cooperation from subordinates will do well to exercise self-discipline by giving the same obedience and cooperation to his seniors. If the officer combines this trait with ability and a genuine interest in the well-being of his personnel, then many disciplinary problems can be avoided.

### **3. Emphasis on self-cultivation of character**

In section 4 of Chapter II, we discussed how the Chinese have been able to use self-cultivation of character as a means to help smooth human relations, and how human-heartedness, forgiveness, loyalty, uprightness, propriety, sense of moderation and other fine moral and mental qualities are developed by the Chinese. Here we want to emphasize that self-cultivation of character is essential to an officer in his exercise of moral leadership, which is so vital to command leadership.

One cannot separate command leadership into two distinct facets -- military leadership and moral leadership. Officers cannot perform their military leadership responsibilities in such a manner as to gain the wholehearted cooperation, obedience, and respect of the men over whom they have been given command responsibility unless their personality is built on firm moral character. Such moral character must in turn be built on the officers' personal integrity, honor, and loyalty to their country and its basic laws and institutions.

to the service of which they are a part, and to the personnel over whom they are assigned command.

Moral leadership is all the more important for Chinese officers at this juncture when the Republic of China has become an unassailable bulwark to the Chinese people who are fighting to free themselves from the bondage of tyranny; but its citizens are still not completely adjusted to the responsibilities that go with this position. The armed forces must accept the challenge to be even more diligent in teaching their members to maintain the high ideals so necessary to the success of this country in the leadership position in the world of the Chinese. They must continually re-emphasize the assumption of moral responsibility and leadership, especially at a time when their compatriots across the straits are entering upon the final stages of struggle for freedom and democracy. They should be instilled with the conviction that they are duty-bound to meet a challenge of this urgency and magnitude and that they shall come out victorious.

#### **4. Development of the quality of loyalty**

The Chinese believe that one of the most important moral qualities one should try to develop is loyalty. The English word "loyalty" has the same meaning as the Chinese word *zhong* 忠, (doing to others what one likes oneself). In the armed forces there is loyalty up. This means wholeheartedly serving your seniors efficiently and well, not in any way undermining their authority or prestige by any word or action of your own. The acid test of loyalty in an officer is the ability to pass on to his personnel orders from the commanding officer of which he disapproves and which he knows will be unpopular with the men. Once the commanding officer has listened to input from others and has made a decision, it is the duty of the subordinate officer to support the senior as if that decision had originally been his own.

In some officers there is a strong inclination to examine the orders of superiors. If these agree with the junior's own ideas, he will be loyal. If they do not, he will take them ungracefully. This is not right. An officer's loyalty must not only ring true when the plan laid down agrees with his own ideas.



It is a very poor and unreliable subordinate who can be depended on to carry out energetically only those plans of which he himself approves. No commander in the service would care to have such a subordinate in time of war.

There is also loyalty down, which is essentially having consideration for the welfare of juniors, a willingness to look out for their legitimate interests, and a readiness to fight for them when necessary. Loyalty up and loyalty down are both absolutely essential to the success of any undertaking. Unless loyalty is a mutual feeling between the senior and the junior, it degenerates into blind obedience, on the part of the best people, and disloyalty -- or at best indifference -- on the part of the remaining personnel. As soon as an officer discovers disloyalty among his subordinates he should look first to himself to find the cause. If he has been disloyal to them, it is almost certain that they will be disloyal to him. Nor can they be blamed for this. You cannot refer to officers or other personnel as a lot of worthless bums and expect loyalty in return from them. This runs against human nature. On the contrary, the officer must improve his subordinates by setting high standards for them through precept and example in every facet of his professional and personal life.

#### **5. Development of the quality of uprightness**

Uprightness is what comes from within. The reason why a person cannot give expression to what is in his heart is because he lacks moral courage, the courage to assert his convictions, the fortitude to call things as he sees them, the readiness to admit a mistake when it is made. Disinclination to assume responsibility is an indication of lack of moral courage. An ever present fear of being blamed does much to cramp an officer's initiative and is the most potent reason for causing a junior officer always to await orders.

Uprightness also implies honor, honesty, and truthfulness. Aside from the importance of these virtues from the standpoint of personal integrity, there are some compelling reasons for stressing them from a purely practical point of view. In a military organization, people work and live together in close proximity, often for months at a time.

They must rely heavily, perhaps exclusively, on each other, not just for day-to-day companionship, but for their very lives. It is necessary to put the greatest confidence and trust in your shipmates, and this would hardly be possible if they were other than men of honor, honesty, and truthfulness.

#### **6. Relations-orientation**

The Chinese perception of leadership is chiefly relations-oriented (the first six features in the ECHO table are man-related factors and traits), whereas the American perception is predominantly, if not completely, task-oriented (as is amply demonstrated by the McBer list, Table 2.). The first six features in the ECHO table are: 1. Concerned for subordinates' welfare; 2. Having broad and deep learning (in contrast to 17. Having professional knowledge, which is a task-oriented factor), meaning the leader should demonstrate refinement, cultivation, and power of edification and enlightenment; 3. Fair and Just; 4. Setting good example; 5. Having irreproachable moral conduct; and 6. Good at bringing out what is best in others. Other factors and traits in the ECHO table that may be regarded as relations-oriented are Items No. 9, 10, 12, 13, 15, 19, 20, and 22. About two thirds of the key leadership factors and traits, including those ranking first through sixth, are relations-oriented. In this connection, it is interesting to note the distinction Confucius made between the wise and the good. He said:

The wise take delight in water; the good take delight in mountain. The wise move; the good stay still. The wise find enjoyment; the good enjoy a full span of life. [Ref. 6]

In this passage there is something which suggests the difference between the Western way and the Chinese way - the way of the wise and the way of the good, the difference in the philosophy of life.

To the Chinese, who became a vast and united nation at a very early period, internal problems are more important than external ones, and their attitude is comparatively "introvert", looking inward upon themselves. On the contrary, Europe, the seat of the Western civilization, has long been adapted to division into a number of small states; all attempts to maintain a continental empire in Europe have failed. So to the Westerners external problems are

more important than internal ones, and their attitude is comparatively "extrovert", looking outward upon the external world. As a result, geographical discoveries and scientific inventions have energized the culture of the West. It is because the Chinese are introvert that they emphasize the continuation of life in time and cling to the heritage of their traditions. As a result, Chinese culture is unique in its continuity, and its remarkable characteristic is a capacity for change without disruption [Ref. 32].

The difference in respective economic conditions between China and the West also has a bearing on the cultural differences. China is a continental country; the Chinese people have to make their living by agriculture, and Chinese culture since the early days has been based on agriculture. From the Western viewpoint cultural progress proceeds from agrarian civilization to commercial civilization, whereas from the Chinese viewpoint human civilization will never cease to be agrarian in character. Westerners regard civilization as changing and progressive, while the Chinese consider civilization as stable and growing. The Chinese were farmers and the way of life of the farmers is to follow nature, so they desire no change; whereas the Westerners were merchants and the way of life of merchants is to look for novelty and change. It is therefore not surprising that China failed to have the kind of scientific and industrial revolutions that transformed and modernized European nations. In Chinese history there were many noteworthy industrial inventions, but they came more by accident than design, because what figured prominently in the development of the Chinese civilization was not material accomplishment but spiritual attainment.

The Westerners are impressed by the antagonism of the different factors in the world: the antagonism of society versus individual, of authority versus liberty, and so forth. The Chinese, in contrast, are impressed not by the antagonism, but by the continuity of the world. To the mind of the Chinese, society and the individual are not antagonistic to each other; they are simply a continuous whole.

"Liberty" is an all-important word in the West; it is the essence of Western civilization. Another significant word in Western civilization is "organization", it was most needed in the formation of the modern state. Because of the antagonism between society and the individual, Westerners demand liberty as well as organization, so that the interests of both society and individual are taken care of.

The Chinese, however, are not interested in those two concepts. Because they look inward, the Chinese regard society and individual as one whole. Although the whole is formed of many minor selves, yet the minor selves are not antagonistic to the whole; on the contrary, they form a part of it, just as the growing and expanding roots merge into the whole. In *Da Xue*, or *Great Learning*, we read that by cultivating oneself, one can regulate the family; by regulating the family, one can govern the states; by governing the state, one can pacify the world. The converging series grows by stages. However widely the branches may extend, the quality of the branches is determined by the common root. Thus the self is not antagonistic to the family, to the state, or to the world, for the self merges into the whole. This is the Chinese philosophy of life. This implies that, to the Chinese, harmony in the family, smooth functioning of the state, amicable relations with foreign nations are all the inevitable outcome of the proper handling of human relations at different levels by the self.

Then there is the difference between the religious beliefs of East and West. According to Westerners, the universe is composed of pairs of opposites and contradictories; hence they draw a clear distinction between heaven and earth, heaven being a spiritual world separated from the earth by a vast distance of space. They further believe that man consists of soul and body, the soul making contact with the spiritual world of reason and the body making contact with the material world of the senses.

Chinese thinkers, however, for centuries have believed that what happens in the universe is a continuous whole, a chain of natural sequence. This is the conception that confirms and perpetuates the fusion of heaven and

earth. To the Chinese, the individual world is not a kingdom in heaven but a paradise on earth. This earthly paradise can be reached by manifesting virtuous influence and by undertaking great deeds. The Chinese have seldom been preoccupied with a heavenly kingdom outside the human world. In the West, the desire for immortality crystallized into religion, whereas in China it became ethics. It is no wonder that Chinese philosophy has always emphasized the moral qualities of man, rather than his intellectual and material qualities.

The foregoing is an examination as to why Chinese perception of leadership is chiefly relations-oriented.

## **B. WHAT WESTERN LEADERSHIP CONCEPTS CAN BE ASSIMILATED TO GOOD ADVANTAGE BY THE CHINESE**

### **1. Leadership a two-way influence process**

The Chinese leader is prone to act like a power wielder. A person who wields power is different from a person who exercises leadership. The person who exercises leadership mobilizes resources to arouse, engage, and satisfy the motives of his followers; he tends to exercise leadership in a two-way influence process by consulting with his subordinates. The person who wields power marshals resources to enable him to influence the behavior of others to realize his own goals, whether or not these are also the goals of the others. He tends to wield power in a one-way influence process by making all the decisions himself.

The Chinese leader is prone to act like a power wielder because practically all political leaders, or to call them by a more appropriate name, all rulers, throughout Chinese history have been acting that way. Political theories advanced by the legalists, Confucians, Mohists and Taoists, though widely differing, have one feature in common -- advocating government primarily from a power-wielding point of view on the part of the ruler.

Chinese traditional leadership concepts are based on a one-way influence process -- the leader's influence on the led. But leadership is a mutual activity in which there usually is both influence and counterinfluence. Lead-

ership is not just the job of the leader but also requires the cooperative efforts of others. For the leadership process to operate smoothly, a trading of benefits between the leader and the led is involved. The leader provides a benefit in directing the group, hopefully toward desirable results. Therefore, a person who fulfills the role of leader well is normally valued. In return, the group members provide the leader with status and the privileges of authority that go with it. The leader has greater influence. However, influence is not all one way. As part of the exchange, the followers may exert influence and make demands on the leader.

When a leader is not performing satisfactorily, followers may not be as willing to respond favorably. Brushing aside the counterinfluence the follower exerts as of no consequence by acting in such a way as to show no regard for the opinion of the follower will result in lack of motivation and poor performance, which show up in loose discipline and low morale. In an organization there is only so much power that the leader can command in dealings with followers before a problem becomes evident to people in higher positions. Ideally, the process of influence and counterinfluence helps to bring about optimum use of human talents and physical resources for effective group functioning.

This two-way influence process upon which the western transactional leadership theory is built is worth learning by the Chinese. Especially worth noticing is the important research effort known as the Vertical Dyad Linkage theory of Graen and his associates. Unlike many other approaches, this one emphasizes the relationship of the leader with each individual subordinate in the "dyadic linkage" as opposed to the relationship of the leader with subordinates as a group [Ref. 33].

The Vertical Dyad Linkage approach focuses on the development of different kinds of exchange relationships with different subordinates. Leaders are seen as establishing special exchange relationships with given subordinates. Such an "in-group subordinate" is granted extra autonomy, influence, and the like in exchange for greater commitment, loyalty, and assistance to the

boss in the performance of job duties. These individuals are contrasted to "out-group subordinates" who do not have this special relationship with their boss.

A transactional approach by Hollander expands on this theme by conceiving of the leader/follower exchange as an ongoing exchange operating in two directions. The leader and each subordinate determine what each expects from the other; this set of expectations results in behaviors by both which is regulated by expectations, negotiations, and so on.

The Vertical Dyad Linkage approach and related approaches are of special interest because they consider leadership as a process which must be investigated over time. As an example, the Vertical Dyad Linkage studies have been longitudinal, i.e., conducted over more than one time period. In this they utilized techniques designed to try to assert causality.

Among others, the items entitled "gives feedback", "listens", "understands", "helps" and "positive expectations" in the McBer list are efforts on the part of the leader to achieve this linkage. Some of the responses generated in the survey under these heads are reproduced here to make it possible for the reader to see more clearly what these items mean.

Gives feedback: "I started holding performance appraisal reviews every month. I sat down with each person and asked them how they thought they were doing, and how I saw it. Then I asked them what their objectives were. It was amazing -- no one had ever told them what their jobs were, what we wanted or how they were doing. Once they knew, we started getting super performance."

Listens - initiates contact: "When he came aboard I told him he could come to me if he had any problems. I called him back a second time four days later to see how he was doing."

Listens - approachability: "The Blacks came to me because they thought I was the only one they could talk to."

Understands: "The kid was showing off. I knew it was because he was insecure and doing it to get attention. I started paying attention to him around

work stuff - 'Hey, you are really doing a good job.' It took a while, but he shaped up."

Helps: "When I talked with him I got his pay record and talked about 'this is how much money you get.' We broke down the various steady drains on his check."

"She was getting a raw deal. I decided to do something about it personally. I endorsed her request and wrote the Bureau and called everyone I could think of."

Positive expectations: "I had this really old seaman -- he must have been in his 50's -- he wasn't too bright. He wanted more than anything else in the world to be in charge of the paint locker, to have some status, something he had control over. I thought he could do it -- and he became the best paint locker bosun you ever saw."

## **2. Importance of task orientation and expertise in the leadership process**

The Chinese are preoccupied with the idea that the most important thing for the leader to do is to maintain good human relations, so much so that the fact that there are other factors to consider often fails to engage their due attention. (Emphasis by the Chinese on the importance of the possession of fine moral qualities by the leader is discussed in Section 6 Relations Orientation under Section A of this chapter.)

A relationship-oriented leader may be characterized as being permissive, considerate of other people's feelings, and concerned with good human relations. The opposite of a relationship-oriented leader is a task-oriented leader, who is more directive, more controlling, and less concerned with human relations. One can't say which of the two types of leadership is superior. The relationship-oriented leadership can probably perform better in situations where leader-member relations, task structure, and the leader's position power are relatively uncertain; whereas the task-oriented leadership can probably perform better when the three situational factors are relatively certain. According to one statistic, air crews which scored highest on overall ef-



fectiveness were mainly led by commanders who were high on both consideration and initiating structure; and by contrast, for crews scoring lowest on effectiveness, most of their commanders were low on both counts. [Ref. 10] But very often things are more complicated than these sweeping generalizations may suggest. Sometimes people are not able to make a distinction between those they see as competent in a major group task and those they like personally. And besides, perceived competence and liking tend to be subjective, and depend on the kinds of activity in which the people are involved. For instance, followers tend to feel better satisfied under a leader skilled in human relations than under one skilled in technical aspects of the task. Air crews are more satisfied when their commanders show more consideration; however, the commanders' superiors will approve them more for initiating structure. School administrators are more likely to show consideration, while command pilots show more initiation of structure.

Sometimes, even results of a survey should not be regarded as an objective reflection of reality and be accepted blindly. For instance, if the findings of a certain survey show that the supervisors who are predominantly relationship-oriented are more productive than those who are predominantly task-oriented, one might conclude that the relationship-oriented style of supervision causes a higher level of group productivity than does the task-oriented style. But is this the only tenable explanation for the result? No, because all correlational studies have in common the limitation that they do not always show what is cause and what is effect.

In the study just described, it seems logical to think that supervisory style caused the level of productivity. But it could very well be that the level of group productivity caused the supervisor to act in a certain way. The leader of a good group does not have to be critical, punitive, or concerned about production; he has the luxury of attending primarily to personal relationships and promoting a comfortable work climate. The unfortunate soul who inherits a group of incompetent or foot-dragging workers does not have that luxury and must set about improving the level of work. Thus, the productivity of the

section could have been the cause and supervisory style a consequence of effect due to that cause.

Yet another explanation for the correlation between two variables is that they each may have been caused by some other unknown or unmeasured variable [Ref. 34].

There is still another aspect of this question. Our instinctive belief that a profile of high initiating structure coupled with high consideration is inherently an optimal style may turn out to be just an illusion. To take an extreme case, a poor leader style (low concern for production and people) might well be associated with high group performance and satisfaction owing to the fact that the members of the group are mature (for example, experienced and competent, achievement oriented, deriving intrinsic gratification from interesting jobs). With such a group, the low-profile leadership style is an appropriate one. The point we wish to underscore here is that leader behavior is only one variable among many that determine subordinate behavior and attitudes [Ref. 34].

Despite all this equivocation, it remains that task performance is the single most important feature in most leadership activity, although to the Chinese mind, the leader helping to get the group's task done is not a *sine qua non* to the leader. And the Chinese are not brought up with the idea that knowledge and expertise, which contribute to task performance, play such an important role in the leadership process.

Knowing his job is a clear, basic requirement for an officer. Technology today is moving so fast that the enlisted personnel are often found working with complex technical equipment. The officer should know the systems he is dealing with, their working principles, their capacity or efficiency. Only in this way can he lead his men in any constructive sense.

Expertise is also a most effective tool for improving group performance and minimizing morale problems. The officer adds to his knowledge of the system by learning the individual jobs of the people subordinate to him, and he also adds to his leadership ability because he can better understand the

individuals and their problems. By learning his job through his people, an officer is likeliest to be able to visualize all of the contingencies that may suddenly confront them, and therefore confront him as their supervisor.

Even a superficial examination of the results of the McBer study reveals that the officers surveyed who demonstrated superior leadership performance have attained a very high level of competency in the Task Achievement competency category. Chinese officers may find it beneficial to practice some of the things they carry out as listed below [Ref. 30]:

Concern for achievement: An officer who demonstrated superior leadership performance did any of the following: stating an improvement objective; expressing a desire to do something better than had been done before; stating a personal standard of excellence that exceeded that of the organization; mentioning a unique accomplishment -- a new way of doing something that resulted in improved performance; stressing efficiency in the use of time, manpower, or resources; expressing personal pride in doing good work in achievement-related tasks; and taking self-improvement initiative actions to advance his career.

Takes initiative: This applies to any of the following situations: An officer who demonstrated superior leadership performance was the causal agent in a situation; was proactive rather than reactive or passive; initiated new actions, proposals, meetings or directives to accomplish a task; exhibited resourcefulness and persistence, defined as taking two or more actions to circumvent an obstacle, rather than giving up or reconciling self to failure.

Sets goals: An officer who demonstrated superior leadership performance identified a problem or concern in terms of specific goals. A response that fit any of the following specifications satisfied the criteria: mention of specific goals or definition of a revised outcome in terms of an action plan; expression of concern for a unit's standards of task performance; mention of an effort to reconsider goals in order to make them more realistic; and setting of deadlines for task accomplishment.

Coaches: An officer who demonstrated superior leadership performance acted to instruct, coach, train or develop co-workers or subordinates to be able to do their jobs better, to help them to be more skillful and responsible or to enable them to meet qualification standards. This was accomplished in any of the following ways: setting an example for purpose of transferring expertise; providing the information necessary to get the job done; and /or developing subordinates or supporting their self-development efforts by making available to them training opportunities, expert help, resources.

Technical problem solving: An officer who demonstrated superior leadership performance found solutions to problems of an essentially technical nature or involving technical aspects (as opposed to solving personal or management problems). The following conditions were present for efforts in this category to be successful: the officer defined the nature of the problem or discrepancy and cited supporting data; the officer identified resources available to solve the problem and constraints on their use; and the officer identified one or more possible solutions.

Conceptualizes: An officer who demonstrated superior leadership performance identified through an inductive process a concept (problem, condition, conclusion, or other state) that was greater than merely the sum of specific examples from which the concept was derived. The following conditions were present: an overarching issue, problem or concept must be stated; the issue, problem or concept must be broken down into its constituent parts, with specific evidence cited; and the concept identified must imply a dichotomous state (e.g., a discrepancy between existing and ideal conditions).

Plans and organizes: An officer who demonstrated superior leadership performance planned or organized activities, people or materials in a hierarchical (priority), temporal (sequential), spatial, chain of command, administrative or other order that proceeded from a problem to a goal state. The following conditions were present: The officer identified action steps, resources, or constraints involved in reaching an objective; the officer prepared a schedule of activities; the officer analyzed and prioritized alternative courses

of action; the officer anticipated specific obstacles before the plan was executed; and/or the officer organized people, materials or activities in a new way to accomplish task.

**Directs:** An officer who demonstrated superior leadership performance directly ordered a subordinate to do something, or insisted that a subordinate go by established procedures without explanation or attempted to influence, but without "personalizing" the order or threatening the individual.

**Delegates:** An officer who demonstrated superior leadership performance used the chain of command to get subordinates to take responsibility by any of the following means: giving others responsibility for task accomplishment; using or supporting the use of chain of command to get subordinates to share in task management; or encouraging others to seek task management responsibility.

**Optimizes (people-task) :** An officer who demonstrated superior leadership performance took into consideration both people and tasks in organizing a work group for the purpose of maximizing task accomplishment. This occurred in the following ways: the officer analyzed the capabilities of individuals and characteristics or requirements of jobs and matched people and jobs to optimize task performance; the officer fully utilized available manpower to accomplish meaningful tasks; and/or the officer considered trade-offs between task requirements and individual's needs to optimize both performance and morale.

**Monitors results:** An officer who demonstrated superior leadership performance did any of the following: monitored a work process by seeking information regarding task progress or by direct observation; checked up on the results of his own or others' actions; or evaluated the outcome of a task against a standard of performance.

In this chapter we have examined how some traditional Chinese ideas and practices may stand the Chinese officers and men in good stead in their exercise of leadership. These ideas and practices include: voluntary subordi-

nation of the led to the will of the leader through exemplary conduct, emphasis on human orientation in the leadership process.

In this chapter we have also examined what Western leadership concepts can be assimilated to good advantage by the Chinese. They are concepts to which not enough attention has been paid by the Chinese: leadership being a two-way influence process, and the important role played by task orientation and expertise in the leadership process.

## V. CONCLUSIONS AND RECOMMENDATIONS

Being especially concerned about cultivating such fine moral and mental qualities as human-heartedness, loyalty, forgiveness, uprightness, propriety, to bring about harmonious human relationships may be regarded as inherent in the Chinese; and this quality, in my opinion, is the essence of good leadership.

If leadership is defined as the leader inspiring others to undertake some purposeful action with a considerable degree of consensus and enthusiasm, then it follows that we must learn what qualities a leader must possess to inspire others, and how leadership is exercised to direct others for purposeful action.

The character of followers is an important determinant of leadership techniques. No individual can properly lead without a thorough understanding of his followers. Followers are the instruments by which goals are achieved. Their character must be understood if the leader is to tap their energies, inspire them, and direct them to proper goals. This means knowing not only the names and background of followers, but also their values, goals, and aspirations. Only through such an understanding can the leader shape his own style to maximize his impact on followers. It is in this sense that followers affect the style of leadership. But no single type of personality and character reflects the only path to successful leadership. The personality and character of a certain great military leader may differ considerably from another great military leader. The real clue is how they are able to inspire others, regardless of the leadership style. And this style, to be effective, must be attuned to the particular character and personality of the leader.

Military leaders have a most difficult task, because they must be prepared to inspire followers to complete a task which may mean loss of life. The task or mission therefore becomes a particularly significant factor in the military leadership process. It is one thing to inspire others to complete an adminis-

trative task, it is another to motivate followers to undertake some action that may result in their death. All of the qualities and demands of leadership are strained to the utmost when faced with life-and-death tasks. Whether the followers will undertake such action is not only based on their value system and those of the larger sociopolitical context in which the military operates, but in the ability of the leader to exercise authority in such a way as to maximize his source of group power.

To prepare individuals to become leaders in the military requires not only traditional qualities of courage, honesty, etc., but an understanding of "people". Moreover, the full potential of an individual's leadership quality requires an understanding of the interrelationship between leaders, followers, the environment, and the mission. All of these can be studied, analyzed, and understood. But the fact remains that their proper exercise requires humanistic sensitivity and perception, and a personality and character that is able to orchestrate all of these to inspire others to complete their tasks.

The singular factor that stands out in our analysis is that leadership concerns individuals. Not only does leadership inhere in individuals, but the leader must be concerned with followers -- followers as individuals. Leadership, of all of the requirements of the military, is most characterized by its humanistic component. One cannot lead organizations; one must lead individuals. The inspiration that comes from proper leadership can harness the will of individuals to undertake tasks that may appear impossible.

In this connection, one might even say that the Chinese obsession with human relations might even be regarded as an attribute that could prove to be of value to people interested in leadership concepts and practices of other cultures, though this is not the purpose of our study.

This thesis is only a preliminary discussion of the most basic problems that have to be considered in a study of leadership in the Chinese context. Additional leadership research efforts for the armed forces of the Republic of China should cover a broader range of issues. As a first step, study should be initiated to address problems of leadership and management separately.



In the armed forces, leadership implies a heroic, and perhaps even charismatic, type of person or type of behavior, whereas management is thought of as rational but bureaucratic. Leadership is, therefore, sometimes seen in positive terms while management is seen as less appropriate behavior for military officers, especially on the battlefield. Leadership suggests a military that has unique institutional qualities resulting from a military life-style and responsibilities that represent a calling; management, on the other hand, implies a military that has become an occupation or just another job. Leadership is important when men or women might die as a result of command and strategy. Management is important when men or women must process paper as the result of implementing decisions and plans. Leadership and management can be seen as different and sometimes antithetical. Nevertheless, both are important since the leading of troops in battle and the managing of the organizational systems within which those troops operate must both be done.

In this regard, or stemming from this, the following question must be answered: Should the peacetime army resemble as much as possible the system that would engage in combat? In noncombat situations, the armed forces are basically a very large educational and training system designed to develop the kind and quality of performance required for successful combat operations. A set of system and leadership attributes should be developed. If these capacities and characteristics are not developed and reinforced in the system when the army is not in a combat situation, they are not likely to be exhibited in combat. In other words the army should condition the type of functioning required to perform the task for which it is training.

Thus, the authority, leadership, reward, communication and training systems should be postured to condition the behaviors and predispositions which will lead to combat effectiveness. In essence, the total system needs to be consistently patterned to produce the consequences it purports to embrace. The consistent patterning of design factors is important to organization effectiveness. All of this would suggest that the army's organization should be such as to be supportive of the requirements imposed by the future battlefield.

However, the more ready for combat the army is, the less likely it will engage in battle and , therefore, the more difficult it is to maintain a high state of realistic training and readiness. In addition, it remains an open question whether it is feasible to design a peacetime system that effectively simulates - on an ongoing basis - the decentralized, adaptive army able to function on the battlefield of the future.

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